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CITA
SEP 16 2002
PATENT & TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): LOTSPIECH

COPY OF PAPERS
ORIGINALLY FILED

) Art Unit: Unk.

Serial No.: 09/771,239

) Examiner: Unk.

Filing Date: January 26, 2001

) Atty. Docket#:ARC920010006US1

For: METHOD FOR TRACING TRAITOR
RECEIVERS IN A BROADCAST
ENCRYPTION SYSTEM

) September 10, 2002
750 "B" Street, Suite 3120
San Diego, CA 92101

21-3/ #6
(B)

9-26-02

TRANSMITTAL LETTER AND SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, DC 20231

RECEIVED

SEP 18 2002

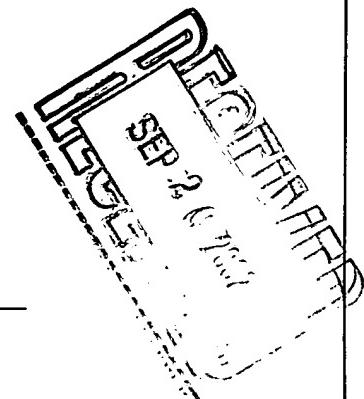
Technology Center 2100

Dear Sir:

Pursuant to Sections 1.97, 1.98, and 1.99 of the Rules of Practice in patent cases, enclosed are copies of the references and patents cited on the "List of References Cited by Applicant," Form PTO-1449, submitted herewith. An acknowledgment postcard is also enclosed.

Respectfully submitted,


John L. Rogitz
Attorney of Record
Registration No. 33,549
750 "B" Street, Suite 3120
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Telephone: (619) 338-8075

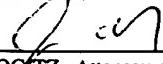


JLR/jg
Encs.

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service, First Class Mail, postage fully prepaid, under 37 CFR 1.8, addressed to Box Non-Fee Amendment, Assistant Commissioner for Patents, Washington, D.C. 20231 on SEPTEMBER 10, 2002.

Date Signed: SEPTEMBER 10, 2002


JOHN L. ROGITZ, Attorney of Record
Registration No. 33,549



Form PTO-1449 (modified)

Sheet 1 of 1

Attorney Docket No.
ARC920010006US1

Serial No.
09/771,239

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

Applicant(s): LOTSPIECH et al.

Filing Date:
01/26/01

Group Art Unit:
2132

U.S. PATENT DOCUMENTS

Examiner Initials	Document No.	Date	Name	Class	Subclass	Filing Date
	6,222,923 B1	04/24/01	Schwenk	380	44	

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PUBLICATIONS / OTHER ART

SEP 18 2002

Examiner Initials	Citation	Technology Center 2100
	PUBLICATION: "Revocation and Tracing Schemes for Stateless Receivers". Naor et al. pp. 1-34. July 2001, U.S.A.	
	WHITE PAPER: "A Subscriber-Excluding and Traitor-Tracing Broadcast Distribution System." Yoshida et al. IEICE Trans. Fundamentals, Vol. E84-A. No. 1, January 1, 2001.	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Document No.	Date	Country	Class	Subclass	Translation Yes	Translation No
	WO 99/33270	07/01/99	WIPO	H04N 7/167	H04L 9/08	Partial	

Examiner

Date Considered

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).



1053.122

International Business Machines Corporation
Research Division, Almaden Research Center
Intellectual Property Law Department

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August 6, 2002

John L. Rogitz
Rogitz & Associates
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Re: ARC9-2001-0006

Hi John:

Attached please find a PCT International Search Report sent to me by IBM UK, and copies of the cited prior art. Please submit an IDS to the USPTO for consideration by the Examiner. I have also attached a copy of U.S. Pat. No. 6,222,923 which should also be submitted. I'm sending this material to inventors Jeff Lotspiech and Dalit Naor to get their input about its significance.

Thanks,
Marc
Marc

Marc D McSwain
08/06/2002 02:03 PM
This document expires on
11/04/2002

To: Pete Stretton/UK/IBM@IBMGB
cc:
From: Marc D McSwain/Almaden/IBM@IBMUS
Subject: *IBM Confidential: ARC9-2001-0006

Hi Pete:

I got the PCT International Search Report you sent me for this case. I am sending a copy of it to outside attorney John Rogitz so he can file an IDS with the USPTO. I will also send a copy to IBM IPL for submission for the Taiwan counterpart case.

The "Revocation and Tracing Schemes for Stateless Receivers" paper by the inventors was published in July 2001, after the U.S. application was filed (on 1/26/01), so I'm not sure why it was cited as prior art. I assume the counterparts claim the benefit of the U.S. filing date.

WO9933270A1 by Schwenck is one of a family of six applications, according to Delphion, including:
DE19649292A1 = filed 11/28/96

US6222923B1 = filed 12/15/97, issued 04/24/01

CA2310406AA = filed 12/18/97

EP1040662A1 = filed 12/18/97

JP2001527349T2 = filed 12/18/97

These are *probably* all on the same invention (I can't say for sure, as some don't have images visible on Delphion, and my German is pretty poor). I'm going to send a copy of US6222923B1 out with the other materials as it's in English; I think it should also be filed with the USPTO, since it's essentially an English version of (and according to Delphion claims the priority benefit of) the German case. I don't know what to make of it and the Yoshida reference.

I will send the prior art to Dalit Naor and Jeff Lotspeich and ask for their input.

Marc

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JUL 22 2002

IBM - ALMADEN

PROSECUTION INFORMATION

PRIVILEGE REVIEW REQUIRED

Docket No: ARC920010006PCT1

16 July 2002

	NAME	LOCATION
To:	M D McSwain	Almaden
From:	P J Stretton	United Kingdom

	EPO Search Report and References (only prior art not available on the web is attached)
	EPO Office Action
	Amendment filed in EPO
	UK Search Report and References (only prior art not available on the web is attached)
	UK Office Action
	Amendment filed in UKPO
X	PCT International Search Report (only prior art not available on the web is attached)
	PCT Written Opinion
	PCT Response to Written Opinion
	PCT International Preliminary Examination Report

I'd appreciate any comments on the X-citations at your convenience.

P J Stretton
Intellectual Property Law
PJS/car

cc: WPTS